

**THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**APPLICANT(S):** Seth I. Merrin et al. : **EXAMINER:** Charles Kyle  
**APPLICATION No.:** 09/834,171 : **GROUP ART UNIT:** 3624  
**FILED:** April 12, 2001 : **DOCKET NO.:** 94193.010100  
**FOR:** **Electronic Securities Marketplace Having Integration With Order Management System**

**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria VA 22313-1450**

**PRELIMINARY AMENDMENT IN RESPONSE TO JANUARY 12, 2006 OFFICE ACTION AND TO RECORD THE SUBSTANCE OF THE JUNE 26, 2006 INTERVIEW**

**INTRODUCTORY COMMENTS:**

This Amendment is filed in reply to the Office Action issued by the U.S. Patent and Trademark Office on January 12, 2006 in connection with the above-identified patent application and to record the substance of the interview held on June 26, 2006.

Please amend the above-identified application as follows:

**Amendment to the Claims** are reflected in the listing of claims that begin on page 2 of this paper.